



PATENT  
Attorney Docket No.: SALK2350

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
Gage, et al.

Application No.: 09/421,971

Filed: October 20, 1999

For: HORMONE RECEPTOR  
FUNCTIONAL DIMERS AND  
METHODS OF THEIR USE

) Group Art Unit: 1615

) Examiner: Unassigned

) CERTIFICATION UNDER 37 CFR § 1.8

) I hereby certify that the documents referred to as enclosed herein  
) are being deposited with the United States Postal Service as first  
) class mail on this date 1/5/00, in an  
) envelope addressed to: Assistant Commissioner for Patents,  
) Washington, D.C. 20231

) Stephen E. Reiter, Reg. No.: 31,192

) (Name of person mailing paper)

) SEL 1/5/00  
) Signature Date

Box Missing Parts  
Assistant Commissioner of Patents  
Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS

Sir:

In response to the Notice to File Missing Parts of Application mailed November 5, 1999,  
enclosed are:

1. A copy of the Notice to File Missing Parts;
2. An executed Declaration for Patent Application for the above-identified U.S. Patent Application;
3. An executed Power of Attorney by Assignee for the above-identified U.S. Patent Application;
4. One (1) Recordation Form Cover Sheet and one (1) executed Assignment for the above-identified U.S. Patent Application; and
5. A Verified Statement (Declaration) Claiming Small Entity Status.

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PATENT

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The filing fee has been calculated as shown below:

	Number Filed		Number Extra		Rate		Fee	
					Small Entity	Other Entity	Small Entity	Other Entity
Total Claims	60	=	40	X	\$9	\$18	=	\$360.00
Independent Claims	1	=	0	X	\$39	\$78	=	\$000.00
Multiple Dependent Claims Presented: ___ Yes <u>X</u> No					\$130	\$260		0
					BASIC FEE		\$380.00	\$ .00
					TOTAL FEE		\$740.00	\$ 0.00


X The Commissioner is hereby authorized to charge payment of the TOTAL FEE of \$845.00; \$380.00 for the filing fee, \$360.00 for additional claims, \$65.00 surcharge fee for missing parts of the application, and \$40.00 recordation fee for one (1) assignment, or credit any overpayment, to Deposit Account No. 07-1895. A duplicate copy of this Transmittal Letter is enclosed.

X Any additional filing fees required under 37 C.F.R. 1.16.

X Any patent application processing fees under 37 C.F.R. 1.17.

Respectfully submitted,

Date: 1/5/00

  
Stephen E. Reiter  
Reg. No. 31,192  
Telephone: (858) 677-1409  
Facsimile: (858) 677-1465

GRAY CARY WARE & FREIDENRICH LLP  
4365 Executive Drive, Suite 1600  
San Diego, California 92121-2189



Receipt  
FILE COPY

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Attorney Docket No.: SALK2350

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) Patents, Washington, D.C. 20231

)

) Stephen E. Reiter, Reg. No. 31,192

)

) (Name of person mailing paper)

)

) [Signature]

) Signature

1/5/00  
Date

Assistant Commissioner of Patents  
Washington, D.C. 20231

ATTN: APPLICATION PROCESSING DIVISION  
CUSTOMER CORRECTION BRANCH

**REQUEST FOR CORRECTION OF FILING RECEIPT**

Sir:

This Communication is submitted to request correction of the filing receipt in reference to the above-identified application. The data requiring correction is indicated in yellow on the attached copy of the filing receipt and herein in **BOLD**.

The following correction is requested for the title of the invention:  
please replace "ENTITIES" with **--DIMERS--**.

Applicants accordingly request the correction be made of record.

In re Application of:

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Filed: October 20, 1999

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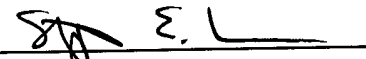
PATENT

Attorney Docket No.: SALK2350

No fee is deemed necessary in connection with the filing of this communication. However, if any fee is required, authorization is hereby given to charge the amount of any such fee to Deposit Account No. 07-1895. A duplicate copy of this sheet is enclosed.

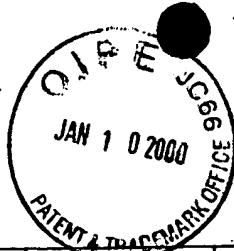
Respectfully submitted,

Date: 1/5/00

  
Stephen E. Reiter  
Reg. No. 31,192  
Telephone: (858) 677-1409  
Facsimile: (858) 677-1465

GRAY CARY WARE & FREIDENRICH LLP  
4365 Executive Drive, Suite 1600  
San Diego, California 92121-2189

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE (YA)  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/421,971	10/20/99	1615	\$0.00	SALK2350	7	60	1

GRAY CARY WARE & FREIDENRICH LLP  
4365 EXECUTIVE DRIVE  
SUITE 1600  
SAN DIEGO CA 92121

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) FRED H. GAGE, LA JOLLA, CA; STEVEN T. SUHR, LA JOLLA, CA; ELAD B. GIL, SAN DIEGO, CA; MARIE-CLAUDE C. SENUT, LA JOLLA, CA.

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 11/04/99

TITLE

HORMONE RECEPTOR FUNCTIONAL ENTITIES AND METHODS OF THEIR USE

PRELIMINARY CLASS: 424

DATA ENTRY BY: THOMAS, SHEILA

TEAM: 06 DATE: 11/04/99

\*\*\*\*\*

(See reverse for new important information)



**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/421,971	10/20/99	GAGE	F SALK2350

0262/1105  
GRAY CARY WARE & FREIDENRICH LLP  
4365 EXECUTIVE DRIVE  
SUITE 1600  
SAN DIEGO CA 92121

NOT ASSIGNED

1615

DATE MAILED:

11/05/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**

**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a  
☐ small entity (statement filed) ☒ non-small entity is \$ 760.00.

☒ 1. The statutory basic filing fee is:

- ☒ missing.  
☐ insufficient.

Applicant must submit \$ 760.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

\$ 730.00 for 40 total claims over 20.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

01/12/2000 KZEMDIE 00000078 071895 09421971

01 FC:201	380.00 CH
02 FC:203	360.00 CH
03 FC:205	65.00 CH